

Applicant or Patentee: Belfort et al.
Serial or Patent No.: To be assigned
Filed: Herewith
For: Genetic System and Self Cleaving Inteins Derived
Therefrom, Bioseparations and Protein
Purification Employing Same, and Methods for
Determining Critical, Generalizable Amino Acid
Residues for Varying Intein Activity

Frommer Lawrence & Haug LLP
File No.: 454311.2201.1
Page 1 of 3

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name Of Organization: **Health Research Institute**
Address Of Organization: **One University Place
Rensselaer, New York 12144**

Type Of Organization:

- university or other institution of higher education
- tax exempt under internal revenue service code (26 USC 501(a) and 502(c)(3))
- nonprofit scientific or educational under statute of state of the United States of America
- would qualify as tax exempt under internal revenue service code (26 USC 501(a) and 502(c)(3)) if located in the United States of America
- would qualify as nonprofit scientific or educational under statute of state of the United States of America if located in the United States of America

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled *Genetic System and Self Cleaving Inteins Derived Therefrom, Bioseparations and Protein Purification Employing Same, and Methods for Determining Critical, Generalizable Amino Acid Residues for Varying Intein Activity* inventor(s) David Wood, Marlene Belfort, Georges Belfort, Vicky Derbyshire and Wei Wu described the specification filed herewith.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

Applicant or Patentee: Belfort et al.
Serial or Patent No.: To be assigned
Filed: Herewith
For: Genetic System and Self Cleaving Inteins Derived
Therefrom, Bioseparations and Protein
Purification Employing Same, and Methods for
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File No.: 454311.2201.1
Page 2 of 3

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor who could not qualify as a small business concern under 35 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Full Name: **Rensselaer Polytechnic Institute**

Address: **J-Building 3210, Troy, New York, 12180-3590**

Individual Small Business Concern University or other institute of higher education

Full Name: **Marlene Belfort**

Address: **162 Font Grove Road, Slingerlands, New York 12159**

Individual Small Business Concern University or other institute of higher education

Full Name: **Georges Belfort**

Address: **162 Font Grove Road, Slingerlands, New York 12158**

Individual Small Business Concern University or other institute of higher education

Full Name: **Vickey Derbyshire**

Address: **32 North Helderberg Parkway, Slingerlands, New York 12159**

Individual Small Business Concern University or other institute of higher education

Full Name: **David Wood**

Address: **36-08 Ravens Crest Drive, Plainsboro, New Jersey 08536**

Individual Small Business Concern University or other institute of higher education

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27).

DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY

(Under 37 CFR § 1.63)

FROMMER LAWRENCE & HAUG LLP

File No.: 454311-2201.1

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention ENTITLED: GENETIC SYSTEM AND SELF-CLEAVING INTEINS DERIVED THEREFROM, BIOSEPARATIONS AND PROTEIN PURIFICATION EMPLOYING SAME, AND METHODS FOR DETERMINING CRITICAL, GENERAZLIABLE AMINO ACID RESIDUES FOR VARYING INTEIN ACTIVITY, the specification of which is attached hereto

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby claim the benefit under Title 35, United States Code § 120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

Prior U.S. Application(s)

<u>U.S. Serial No.:</u>	<u>Filed (Day/Month/Year)</u>	<u>PCT Application No.</u>	<u>Status (patented, pending, abandoned)</u>
60/149,257	17/08/99		PENDING

I hereby appoint SUSAN K. LEHNHARDT, Registration No. 33,943, and Frommer Lawrence & Haug LLP, or their duly appointed associate, my attorneys, with full power of substitution and revocation, to prosecute this application, to make alterations and amendments therein, to file continuation and divisional applications thereof, to receive the Patent, and to transact all business in the Patent and Trademark Office and in the Courts in connection therewith, and specify that all communications about the application are to be directed to the following correspondence address:

Susan K. Lehnhardt, Esq.
c/o FROMMER LAWRENCE & HAUG LLP
745 Fifth Avenue
New York, NY 10151

Direct all telephone calls to: (212) 588-0800
to the attention of: Susan K. Lehnhardt

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

DECLARATION FOR PATENT APPLICATION
AND POWER OF ATTORNEY (Under 37 CFR § 1.63)

FLH Docket No 454311-2201.1.

INVENTOR(S):

Signature: _____ Date: _____

Full name of first joint inventor: Marlene Belfort
Residence: 162 Font Grove Road, Slingerlands, New York 12159
Citizenship: United States

Signature: _____ Date: _____

Full name of 3rd joint inventor: Georges Belfort
Residence: 162 Font Grove Road, Slingerlands, New York 12159
Citizenship: United States

Signature: _____ Date: _____

Full name of 4th joint inventor: Vicky Derbyshire
Residence: 32 North Helderberg Parkway, Slingerlands, New York 12159
Citizenship: United States

Signature: _____ Date: _____

Full name of 5th joint inventor: David Wood
Residence: 36-08 Ravens Crest Drive, Plainsboro, New Jersey 08536
Citizenship: United States

Signature: Wei Wu Date: 8/9/00

Full name of 6th joint inventor: Wei Wu
Residence: 175 South Swan Street, Apt. ~~5A~~^{7K}, Albany, New York 12210

DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY
(Under 37 CFR § 1.63)

FROMMER LAWRENCE & HAUG LLP

File No.: 454311-2201.1

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My residence, post office address and citizenship are as stated below next to my name.

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Prior U.S. Application(s)

U.S. Serial No.: Filed (Day/Month/Year) PCT Application No. Status (patented, pending, abandoned)
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DECLARATION FOR PATENT APPLICATION
AND POWER OF ATTORNEY (Under 37 CFR § 1.63)

FLH Docket No 454311-2201.1.

INVENTOR(S):

Signature: Marlene Belfort Date: 8.12.00

Full name of first joint inventor: Marlene Belfort
Residence: 162 Font Grove Road, Slingerlands, New York 12159
Citizenship: United States

Signature: _____ Date: _____

Full name of 3rd joint inventor: Georges Belfort
Residence: 162 Font Grove Road, Slingerlands, New York 12159
Citizenship: United States

Signature: _____ Date: _____

Full name of 4th joint inventor: Vicky Derbyshire
Residence: 32 North Helderberg Parkway, Slingerlands, New York 12159
Citizenship: United States

Signature: _____ Date: _____

Full name of 5th joint inventor: David Wood
Residence: 36-08 Ravens Crest Drive, Plainsboro, New Jersey 08536
Citizenship: United States

Signature: _____ Date: _____

Full name of 6th joint inventor: Wei Wu
Residence: 175 South Swan Street, Apt. 5A, Albany, New York 12210
Citizenship:

DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY

(Under 37 CFR § 1.63)

FROMMER LAWRENCE & HAUG LLP

File No.: 454311-2201.1

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I believe I am an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention ENTITLED: GENETIC SYSTEM AND SELF-CLEAVING INTEINS DERIVED THEREFROM, BIOSEPARATIONS AND PROTEIN PURIFICATION EMPLOYING SAME, AND METHODS FOR DETERMINING CRITICAL, GENERAZLIABLE AMINO ACID RESIDUES FOR VARYING INTEIN ACTIVITY, the specification of which is attached hereto

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I hereby claim the benefit under Title 35, United States Code § 120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

Prior U.S. Application(s)

<u>U.S. Serial No.:</u>	<u>Filed (Day/Month/Year)</u>	<u>PCT Application No.</u>	<u>Status (patented, pending, abandoned)</u>
60/149,257	17/08/99		PENDING

I hereby appoint SUSAN K. LEHNHARDT, Registration No. 33,943, and Frommer Lawrence & Haug LLP, or their duly appointed associate, my attorneys, with full power of substitution and revocation, to prosecute this application, to make alterations and amendments therein, to file continuation and divisional applications thereof, to receive the Patent, and to transact all business in the Patent and Trademark Office and in the Courts in connection therewith, and specify that all communications about the application are to be directed to the following correspondence address:

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c/o FROMMER LAWRENCE & HAUG LLP
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New York, NY 10151

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DECLARATION FOR PATENT APPLICATION
AND POWER OF ATTORNEY (Under 37 CFR § 1.63)

FLH Docket No 454311-2201.1.

INVENTOR(S):

Signature: _____ Date: _____

Full name of first joint inventor: **Marlene Belfort**
Residence: **162 Font Grove Road, Slingerlands, New York 12159**
Citizenship: **United States**

Signature: _____ Date: _____

Full name of 3rd joint inventor: **Georges Belfort**
Residence: **162 Font Grove Road, Slingerlands, New York 12159**
Citizenship: **United States**

Signature: Vicky Derbyshire Date: 8/14/00

Full name of 4th joint inventor: **Vicky Derbyshire**
Residence: **32 North Helderberg Parkway, Slingerlands, New York 12159**
Citizenship: **United States**

Signature: _____ Date: _____

Full name of 5th joint inventor: **David Wood**
Residence: **36-08 Ravens Crest Drive, Plainsboro, New Jersey 08536**
Citizenship: **United States**

Signature: _____ Date: _____

Full name of 6th joint inventor: **Wei Wu**
Residence: **175 South Swan Street, Apt. 5A, Albany, New York 12210**
Citizenship: _____

Applicant or Patentee: Belfort et al.
Serial or Patent No.: To be assigned
Filed: Herewith
For: Genetic System and Self Cleaving Inteins Derived
Therefrom, Bioseparations and Protein
Purification Employing Same, and Methods for
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Residues for Varying Intein Activity

Frommer Lawrence & Haug LLP
File No.: 454311.2201.1
Page 1 of 3

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name Of Organization: **Rensselaer Polytechnic Institute**
Address Of Organization: **J-Building 3210**
Troy, New York 12180-3590

Type Of Organization:

- university or other institution of higher education
- tax exempt under internal revenue service code (26 USC 501(a) and 502(c)(3))
- nonprofit scientific or educational under statute of state of the United States of America
- would qualify as tax exempt under internal revenue service code (26 USC 501(a) and 502(c)(3)) if located in the United States of America
- would qualify as nonprofit scientific or educational under statute of state of the United States of America if located in the United States of America

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled ***Genetic System and Self Cleaving Inteins Derived Therefrom, Bioseparations and Protein Purification Employing Same, and Methods for Determining Critical, Generalizable Amino Acid Residues for Varying Intein Activity*** inventor(s) **David Wood, Marlene Belfort, Georges Belfort, Vicky Derbyshire and Wei Wu** described in the specification filed herewith.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

Applicant or Patentee: Belfort et al.
Serial or Patent No.: To be assigned
Filed: Herewith
For: Genetic System and Self Cleaving Inteins Derived
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Residues for Varying Intein Activity

Frommer Lawrence & Haug LLP
File No.: 454311.2201.1
Page 2 of 3

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor who could not qualify as a small business concern under 35 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Full Name: **Health Research Institute**

Address: **One University Place, Rensselaer, New York 12144**

Individual Small Business Concern Nonprofit Organization

Full Name: **Marlene Belfort**

Address: **162 Font Grove Road, Slingerlands, New York 12159**

Individual Small Business Concern University or other institute of
higher education

Full Name: **Georges Belfort**

Address: **162 Font Grove Road, Slingerlands, New York 12158**

Individual Small Business Concern University or other institute of
higher education

Full Name: **Vickey Derbyshire**

Address: **32 North Helderberg Parkway, Slingerlands, New York 12159**

Individual Small Business Concern University or other institute of
higher education

Full Name: **David Wood**

Address: **36-08 Ravens Crest Drive, Plainsboro, New Jersey 08536**

Individual Small Business Concern University or other institute of
higher education

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27).

Applicant or Patentee: Belfort et al.
Serial or Patent No.: To be assigned
Filed: Herewith
For: Genetic System and Self Cleaving Inteins Derived
Therefrom, Bioseparations and Protein
Purification Employing Same, and Methods for
Determining Critical, Generalizable Amino Acid
Residues for Varying Intein Activity

Frommer Lawrence & Haug LLP
File No.: 454311.2201.1
Page 3 of 3

Full Name: Wei Wu

Address: 175 South Swan Street, Apt. 5A, Albany, New York 12210

Individual Small Business Concern University or other institute of
higher education

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: *Charles F. Rancourt*

Title in Organization: Rensselaer Polytechnic Institute

Address of Person Signing: J-Building 3210
Troy, New York 12180-3590

Signature: *Charles Rancourt* Date: *August 16, 2000*

Applicant or Patentee: Belfort et al.
Serial or Patent No.: To be assigned
Filed: Herewith
For: Genetic System and Self Cleaving Inteins Derived
Therefrom, Bioseparations and Protein
Purification Employing Same, and Methods For
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Residues For Varying Intein Activity

Frommer Lawrence & Haug LLP
File No.: 454311-2201.1
Page 1 of 3

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(b)) - INDEPENDENT INVENTOR**

As a below-named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention, entitled **Genetic System and Self Cleaving Inteins Derived Therefrom, Bioseparations and Protein Purification Employing Same, and Methods For Determining Critical, Generalizable Amino Acid Residues For Varying Intein Activity** described in application Serial No. **not yet assigned**, filed **herewith**.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor who could not qualify as a small business concern under 35 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Full Name: **Marlene Belfort**

Address: **162 Font Grove Road, Slingerlands, New York 12158**

Individual Small Business Concern University or other institute of higher education

Full Name: **Georges Belfort**

Address: **162 Font Grove Road, Slingerlands, New York 12159**

Individual Small Business Concern University or other institute of higher education

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27).

Applicant or Patentee: Belfort et al.
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Full Name: **David Wood**

Address: **36-08 Ravens Crest Drive, Plainsboro, New Jersey 08536**

Individual Small Business Concern University or other institute of higher education

Full Name: **Wei Wu**

Address: **175 South Swan Street, Apt. 5A, Albany, New York 12210**

Individual Small Business Concern University or other institute of higher education

Full Name: **Rensselaer Polytechnic Institute**

Address: **J-Building 3210, Troy, New York, 12180-3590**

Individual Small Business Concern University or other institute of higher education

Full Name: **Health Research Institute**

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I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

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Full Name: **Georges Belfort**

Address: **162 Font Grove Road, Slingerlands, New York 12158**

Individual Small Business Concern University or other institute of higher education

Full Name: **Vickey Derbyshire**

Address: **32 North Helderberg Parkway, Slingerlands, New York 12159**

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Full Name: **David Wood**

Address: **36-08 Ravens Crest Drive, Plainsboro, New Jersey 08536**

Individual Small Business Concern University or other institute of higher education

Full Name: **Wei Wu**

Address: **175 South Swan Street, Apt. 5A, Albany, New York 12210**

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Name of Person Signing: **Marlene Belfort**

Address of Person Signing: **162 Font Grove Road
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Signature: Marlene Belfort Date: 8.12.00

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Purification Employing Same, and Methods For
Determining Critical, Generalizable Amino Acid
Residues For Varying Intein Activity

Frommer Lawrence & Haug LLP
File No.: 454311-2201.1
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**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(b)) - INDEPENDENT INVENTOR**

As a below-named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention, entitled **Genetic System and Self Cleaving Inteins Derived Therefrom, Bioseparations and Protein Purification Employing Same, and Methods For Determining Critical, Generalizable Amino Acid Residues For Varying Intein Activity** described in application Serial No. **not yet assigned**, filed **herewith**.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor who could not qualify as a small business concern under 35 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

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*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27).

Applicant or Patentee: Belfort et al.
Serial or Patent No.: To be assigned
Filed: Herewith
For: Genetic System and Self Cleaving Inteins Derived
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I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

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